

FORM PTO-1390
(REV 10-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C.371****MCW-002US**

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)

09/890694

INTERNATIONAL APPLICATION

PCT/GB00/00323

INTERNATIONAL FILING DATE

07 February 2000 (07.02.00)

PRIORITY DATE CLAIMED

05 February 1999 (05.02.99)

TITLE OF INVENTION

OPTICAL WAVEGUIDE WITH MULTIPLE CORE LAYERS AND METHOD OF FABRICATION THEREOF

APPLICANT(S) FOR DO/EO/US

Paulo Vicente DA SILVA MARQUES et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C.371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This is an express request to promptly begin national examination procedures (35 U.S.C. 371(f)).
4. ☐ The US has been elected by the expiration of 19 months from the priority date (PCT Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☒ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C 371(c)(2))
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). **(unexecuted) (4 Sheets);**
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98 **(2 sheets) with Form PTO-1449 (1 sheet);**
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included
13. ☒ A **FIRST** preliminary amendment **(7 sheets) (along with version of markings to show changes (5 sheets));**
 - ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information: **Transmittal Letter (2 sheets); PCT International Published Application (WO 00/46619) (with International Search Report) (38 sheets); International Preliminary Examination Report (18 sheets); Check in the amount of \$1530.00 (Filing Fee) based on large entity; Certificate of First Class Mailing (1 sheet); and Return Postcard.**

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09890694 Rec'd PCT/PTO 10 13 AUG 2001

17. ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) .(a/o November 1, 2000):**

Neither international preliminary examination fee (37 CFR 1.482)
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO
and International Search Report not prepared by the EPO or JPO.....\$1000

International preliminary examination fee (37 CFR 1.482) not paid to
USPTO but International Search Report prepared by the EPO or JPO\$860

International preliminary examination fee (37 CFR 1.482) not paid to USPTO but
international search fee (37 CFR 1.455(a)(2)) paid to USPTO\$710

International preliminary examination fee paid to USPTO (37 CFR 1.482)
but all claims did not satisfy provisions of PCT Article 33(1)-(4).....\$690

International preliminary examination fee paid to USPTO (37 CFR 1.482)
and all claims satisfied provisions of PCT Article 33(1)-(4).....\$100

ENTER APPROPRIATE BASIC FEE AMOUNT =

CALCULATIONS PTO USE ONLY

\$860.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☒ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(e)).

\$130.00

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE
Total claims	50-20 =	30	X \$18.00
Independent claims	2-3 =	0	X \$80.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ 270.00

\$540.00

\$

\$

TOTAL OF ABOVE CALCULATIONS =

\$1530.00

☐ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above
are reduced by 1/2.

\$

SUBTOTAL =

\$

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(f)).

\$

+

TOTAL NATIONAL FEE =

\$

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +

\$

TOTAL FEES ENCLOSED =

\$1530.00

Amount to be:	\$
refunded	
charged	\$

- a. ☒ Checks in the amount of \$ 1530.00 to cover the above fees are enclosed.
- b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit
any overpayment to Deposit Account No. 12-0080. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Anthony A. Laurentano, Esq.
LAHIVE & COCKFIELD, LLP
28 State Street
Boston, Massachusetts 02109
United States of America
(617)227-7400
Date: 03 August 2001

SIGNATURE

NAME

REGISTRATION NUMBER

Anthony A. Laurentano

38,220

**IN THE UNITED STATES PATENT DESIGNATED OFFICE (DO/US)
(National Phase of International App.: PCT/GB00/00323, W/O 00/46619)**

In re the application of:

Paulo Vicente DA SILVA MARQUES et al.

International Application No.: **PCT/GB00/00323**

International Filing Date: **07 February 2000**

U.S. Serial No.: **Not Yet Assigned**

Filed: **Herewith**

For: **OPTICAL WAVEGUIDE WITH MULTIPLE
CORE LAYERS AND METHOD OF
FABRICATION THEREOF**

Attorney Docket No.: **MCW-002US**

BOX PCT

Commissioner for Patents
Washington, D.C. 20231

Certification Under 37 CFR 1.10

I hereby certify that the attached: Transmittal Letter (2 sheets); Preliminary Amendment (7 sheets (along with version of markings to show changes (5 sheets))); Unexecuted Declaration, Petition and Power of Attorney (4 sheets); PCT International Published Application (WO 00/46619) (with International Search Report) (38 sheets); International Preliminary Examination Report (18 sheets); Information Disclosure Statement (2 sheets); Form PTO-1449 (1 sheet); check in the amount of \$1530.00 (Filing Fee) based on large entity; Certificate of Express Mailing (1 sheet); and Return Postcard are being deposited by me with the United States Postal Service "Express Mail Post Office to Addressee" service, Mailing Label No. **EL 916 825 478 US**, under 37 CFR 1.10 on the date indicated below and is addressed to the Box PCT, Commissioner for Patents, Washington, D.C. 20231.

Date: 03 August 2001

Name: Vinny Cardoso

Signature: 